



# UNITED STATES PATENT AND TRADEMARK OFFICE

40  
UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/800,403	03/05/2001	Thulasiraman Jeyaraman	SUN1P806/P5418	2707
22434	7590	02/04/2005	EXAMINER	
BEYER WEAVER & THOMAS LLP P.O. BOX 70250 OAKLAND, CA 94612-0250			DUONG, THOMAS	
			ART UNIT	PAPER NUMBER
			2145	
DATE MAILED: 02/04/2005				

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 09/800,403	<b>Applicant(s)</b> JEYARAMAN ET AL.	
	<b>Examiner</b> Thomas Duong	<b>Art Unit</b> 2145	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 18 November 2004.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-6, 25-28 and 35-40 is/are pending in the application.  
4a) Of the above claim(s) 7-24, and 29-34 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-6, 25-28 and 35-40 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>1</u> . | 6) <input type="checkbox"/> Other: _____  |

## DETAILED ACTION

### *Election/Restrictions*

1. Claims 7-24, and 29-34 withdrawn from further consideration pursuant to 37 CFR 1.142(b) as being drawn to a nonelected inventions, there being no allowable generic or linking claim. Election was made **without** traverse in the response to restriction requirement filed on October 7, 2004.
2. Claims 1-6,25-28, and 35-40 are presented for further examination

### *Claim Rejections - 35 USC § 102*

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. Claims 1-5, 25-27 and 35-39 are rejected under 35 U.S.C. 102(e) as being anticipated by Coleman et al. (US005261089A).
3. With regard to claims 1, 25 and 35, Coleman reference discloses,
  - *receiving a request to start the transaction*; (Coleman, col.2, lines 3-4; col.4, lines 63-68; col.5, lines 53-56; col.74, lines 37-38)

Coleman teaches of a method for executing an application program that first receives a work request from the application program.

- *storing information which indicates that the request to start the transaction was received;* (Coleman, col.41, lines 5-18; col.74, lines 38-42)

Coleman teaches of a method for executing an application program that stores an identification and information corresponding to the work requested in the form of logging for error recovery purposes.

- *accessing a first resource manager associated with the transaction;* (Coleman, col.10, lines 23-28; col.11, lines 32-44; col.13, lines 57-64; col.19, lines 23-37; col.20, lines 17-23; col.23, lines 37-47)

Coleman teaches of a method for executing an application program that accesses resource manager associated with the transaction and initiates the transaction as a local transaction on the resource manager.

- *initiating the transaction as a local transaction on the first resource manager without first determine whether the transaction is appropriate to be a local transaction; and* (Coleman, col.10, lines 23-28; col.11, lines 32-44; col.13, lines 57-64; col.19, lines 23-37; col.20, lines 17-23; col.23, lines 37-47)

Coleman teaches of a method for executing an application program that accesses resource manager associated with the transaction and initiates the transaction as a local transaction on the resource manager.

- *completing the transaction.* (Coleman, col.14, line 54 – col.15, line 5; col.16, lines 21-28; col.33, lines 7-19)

Coleman teaches of a completion step in the method for executing an application program that accesses resource manager associated with the transaction and initiates the transaction as a local transaction on the resource manager.

4. With regard to claims 2, 26 and 36, Coleman reference discloses,

- *wherein completing the transaction includes using a local transaction mechanism of the first resource manager. (Coleman, col.14, line 54 – col.15, line 5; col.16, lines 21-28; col.33, lines 7-19)*

Coleman teaches of a completion step in the method for executing an application program that accesses resource manager associated with the transaction and initiates the transaction as a local transaction on the resource manager.

5. With regard to claims 3-4, 27 and 37-38, Coleman reference discloses,

- *further including:*
  - *initiating a global transaction after initiating the transaction as the local transaction; and (Coleman, col.10, lines 23-28; col.11, lines 32-44; col.13, lines 57-64; col.19, line 23 - col.20, line 38; col.23, lines 37-47; col.31, line 48 – col.32, line 47)*

Coleman teaches of a method for executing an application program that accesses resource manager associated with the transaction and initiates the transaction as a local transaction as well as a global transaction on the resource manager.

- *completing both the local transaction and the global transaction substantially atomically using a last resource 2-phase commit optimization. (Coleman,*

Art Unit: 2145

col.14, line 54 – col.15, line 5; col.16, lines 21-28; col.31, line 48 – col.32, line 47; col.33, lines 7-19)

Coleman teaches of a completion step in the method for executing an application program that includes both local and global transactions using a last resource 2-phase commit optimization.

6. With regard to claims 5 and 39, Coleman reference discloses,

- *further including lazily determining whether to initiate the global transaction.*

(Coleman, col.14, line 54 – col.15, line 5; col.16, lines 21-28; col.31, line 48 – col.32, line 47; col.33, lines 7-19)

Coleman teaches of a completion step in the method for executing an application program that includes both local and global transactions using a last resource 2-phase commit optimization.

### ***Claim Rejections - 35 USC § 103***

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

8. Claims 6, 28 and 40 are rejected under 35 U.S.C. 103(a) as being unpatentable over Coleman (US005261089A) and in view of McKeehan et al. (US006061708A).

Art Unit: 2145

9. With regard to claims 6, 28 and 40, Coleman reference discloses the invention substantially as claimed,

See *claims 1, 25 and 35* rejection as detailed above.

However, Coleman reference does not explicitly disclose,

- *wherein the enterprise environment is a Java 2 Enterprise Environment and receiving the request to start the transaction includes receiving the request from a component associated with the Java 2 Enterprise Environment.*

McKeehan teaches,

- *wherein the enterprise environment is a Java 2 Enterprise Environment and receiving the request to start the transaction includes receiving the request from a component associated with the Java 2 Enterprise Environment.* (McKeehan, col.6, line 59 – col.7, line 9; col.9, line 55 – col.10, line 6; col.11, lines 47-67)

Coleman teaches of a mechanism for supporting a single-phase, two-phase, or mixed-phase in a distributed object oriented transaction computing environment.

Furthermore, McKeehan teaches of implementing the mechanism using the well-known Java language.

Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention was made to combine McKeehan reference with Coleman reference to enable the processing of transaction in a distributed object oriented transaction computing environment using the well-known Java language.

### ***Conclusion***

10. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

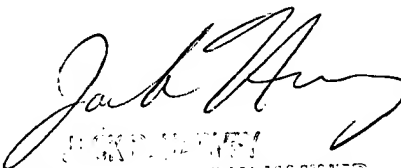
Art Unit: 2145

- Sheth et al. (US005241675A)
- Maslak et al. (US005363505A)
- Yoshiura et al. (US006286004B1)
- Pardon et al. (US006671686B2)
- Lomet (US006754657B2)
- Coleman et al. (EP000457116A2)

11. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Thomas Duong whose telephone number is 571/272-3911. The examiner can normally be reached on M-F 7:30AM - 4:00PM. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Jack B Harvey can be reached on 571/272-3896. The fax phone numbers for the organization where this application or proceeding is assigned are 703/872-9306 for regular communications and 703/872-9306 for After Final communications. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 571/272-2100.

*Thomas Duong (AU2145)*

*January 24, 2005*



JACK B HARVEY  
SUPERVISOR